



**DEPARTMENT OF CORRECTIONS
MONTANA STATE PRISON
OPERATIONAL PROCEDURE**

Procedure No.: MSP 1.5.100	Subject: ORGANIZATION & TRANSFER OF UNIT MINI FILES	
Reference: DOC Policy No. 1.5.5, Case Records Management		Page 1 of 3
Effective Date: November 24, 2003	Revision: (new implementation date) June 6, 2012	
Signature / Title: /s/ Leroy Kirkegard / Warden		

I. PURPOSE

To ensure unit mini files are stored and maintained in an orderly uniform manner, and promptly routed when an inmate transfers to another unit or facility.

II. DEFINITIONS

File Protocol - the order in which information and file material is placed in file folders.

Reverse Chronological Order - the most recent document goes on top.

Unit Mini File - the blue six-part file folder that is used by Montana State Prison and the contracted facilities that contains file material concerning the supervision and management of an inmate. Also referred to as “case management file”

III. PROCEDURES

A. General Requirements

1. Security and Checkout Procedures
 - a. Unit mini files must be secured and maintained in accordance with procedures outlined in *DOC 1.5.5, Case Records Management*.
 - b. A checkout/tracking system (i.e. logbook, check-out card, electronic system) must be in place for any unit mini file received, transferred, or taken from its secure location. These files should be accounted for on a regular basis and reconciled against the official count and logged in a logbook or an electronic log.
2. Initialization
 - a. Upon an inmate's arrival at the MDIU, the respective department (rehab, housing unit) will create a new unit mini file.
 - b. Unit mini files on repeat inmates will be pulled from the archives, re-formatted into a sectional format as necessary, and re-activated.
3. Routing:
 - a. When an inmate is transferred between housing units within a facility, the sending Unit Manager/designee will ensure that the unit mini file is sent to the receiving unit.
 - 1) When there is staff escort for the inmate when he leaves for the other unit, unit staff will deliver the unit mini file to the staff escorting the inmate(s), who will bring the unit mini file along with the inmate as he is escorted to the receiving unit.
 - 2) If there is no staff escort, the sending Unit Manager/designee will ensure that the unit mini file is sent to the receiving unit before the end of the workday.
 - b. When an inmate is transferred to another DOC prison facility, the following applies:
 - 1) The sending Unit Manager will ensure that the unit mini file for the inmate(s) on the scheduled transfer is in the unit Case Manager's Office the day before the transport is to take place.
 - 2) The Transportation Officer(s) will take delivery of the unit mini file, along with the inmate, at the housing unit(s).

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- 3) If the unit mini file is not available when the Transportation Officer(s) are at the unit to pick up an inmate who is on the scheduled transfer list, the officer(s) will not take delivery of the inmate.
 - a) Unit staff and the Transportation Officer(s) will fill out an incident report concerning the missing unit mini file(s), and send copies to the Contract Placement Office and Associate Warden of Housing.
 - b) The Unit Manager will locate the missing mini file and work with Contract placement staff to re-schedule the inmate transport.
- c. When an inmate is released to discharge, parole, or community supervision, the unit from which the inmate is released will send his unit mini files to MDIU Records for storage and handling.

B. File Protocol

Unit mini files established after July 1, 2002 must be organized in six sections as outlined below.

Section 1 - Court/Legal Documents

- Copy of sentencing summary ("Blue card"). This remains on top and is stamped for victim notification if applicable
- Basic Information Sheet (face sheet)
- Good time computation sheet and/or the most current yellow copy of the projected parole eligibility and discharge dates.
- Sentencing orders/judgments (reverse chronological order)
- Bench warrants (reverse chronological order)
- Information affidavits (reverse chronological order)
- Plea agreements (reverse chronological order)
- Police reports (reverse chronological order)
- Pre-Sentence Investigation Reports (reverse chronological order)
- Detainer/Notifications (reverse chronological order)
- P&P Initial Screening (reverse chronological order)
- P&P Reports of Violation (chronological order)
- "Report of Violation" of probation and/or parole.

Section 2 - Classification (all in reverse chronological order)

- Classification reports
- Admission/Discharge Reports (ADR's)
- 24/72-hour notifications
- Separation needs
- Weekly contact notes
- Pre-Release applications
- Unit rules forms
- Inmate kites
- Progress reports
- Applicable incident reports
- 30 day Reviews
- Locked Housing Management Plan

Section 3-Disciplinary and Property (all in reverse chronological order)

- Disciplinary reports
- Applicable incident reports
- Property inventory sheets

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Section 4-Treatment/Work (all in reverse chronological order)

- Job Assignment/Removal forms
- Work evaluation reports
- School evaluation reports
- Treatment requests
- Treatment progress reports
- Certificates
- TABE tests
- Applicable incident reports
- UA requests
- Health Status Reports (HSR's) - work category and medical issued item
- BMP requests

Section 5-Board of Pardons (all in reverse chronological order)

- Case Disposition
- Parole Reports (except evaluation section)
- Parole Waivers
- Board of Pardons correspondence

Section 6-Confidential (all in reverse chronological order)

- Confidential reports
- Privileged correspondence
- Parole Reports (evaluation section)

Note: do not place atypical/separation needs forms in this section.

IV. CLOSING

Questions concerning this operational procedure will be directed to Contract Placement Bureau staff.

V. ATTACHMENTS (none)